

**COLORADO DEPARTMENT OF STATE**  
**STRATEGIC PLAN AND BUDGET REQUEST**

FY 2013-14

Submitted November 1, 2012

Scott E. Gessler  
*Secretary of State*



*We serve the American Dream*



**STATE OF COLORADO**  
**Department of State**

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November 1, 2012

Dear Coloradans,

This year my office prepared a new Strategic Plan using an updated format and methodology. The intent is to comply with requirements set forth by the legislature, while also providing a plan that is understandable for lawmakers, constituent groups, the public, and our employees. Our mission, vision, values, strategies, goals, objectives and metrics must be transparent, so that you don't need special knowledge or experience with my office to understand our actions.

This plan addresses major shortcomings in last year's plan. Previously, plans were created by a handful of senior managers and did not integrate division, work-unit, and individual performance objectives and measurements. Our new plan was created using an exhaustive and detailed process. Department employees first received a primer on strategic planning. We created a Strategic Plan Work Group, representing every level and division on the organization chart. After exploring many conceptual ideas the office held feedback sessions with all employees and external advisory committees.

Our plan lays out a bold vision for the future. At the same time, the office has made significant gains since last year's plan. The Business & Licensing Division rolled-out new web-based systems that allow for a better, faster, and cheaper customer experience. A new e-Learning Platform now provides statewide training for our business, non-profit, and county customers without the burden and expense of travel to Denver. We now have more registered voters than any time in Colorado history—an accomplishment achieved with the help of a statewide media campaign and groundbreaking technological innovation. Through process-improvement and technology, we have lowered many fees while improving service levels. We have eight million customer interactions per year, and we believe our customers deserve effective and efficient service. That way, they can focus on growth and prosperity—not government regulation.

You may notice that our Strategic Plan declares "We serve the American Dream." People interact with our office for many reasons: starting or expanding a business, raising money to support charities, adopting a child, creating an issue committee, or running for office. We recognize that our effectiveness can help or hinder these efforts.

Most of this document is forward-looking. The Strategic Plan encompasses the next three to five years, and the budget covers the 2013/14 fiscal year.

Whatever your dream may be, we are here to help.

Sincerely,

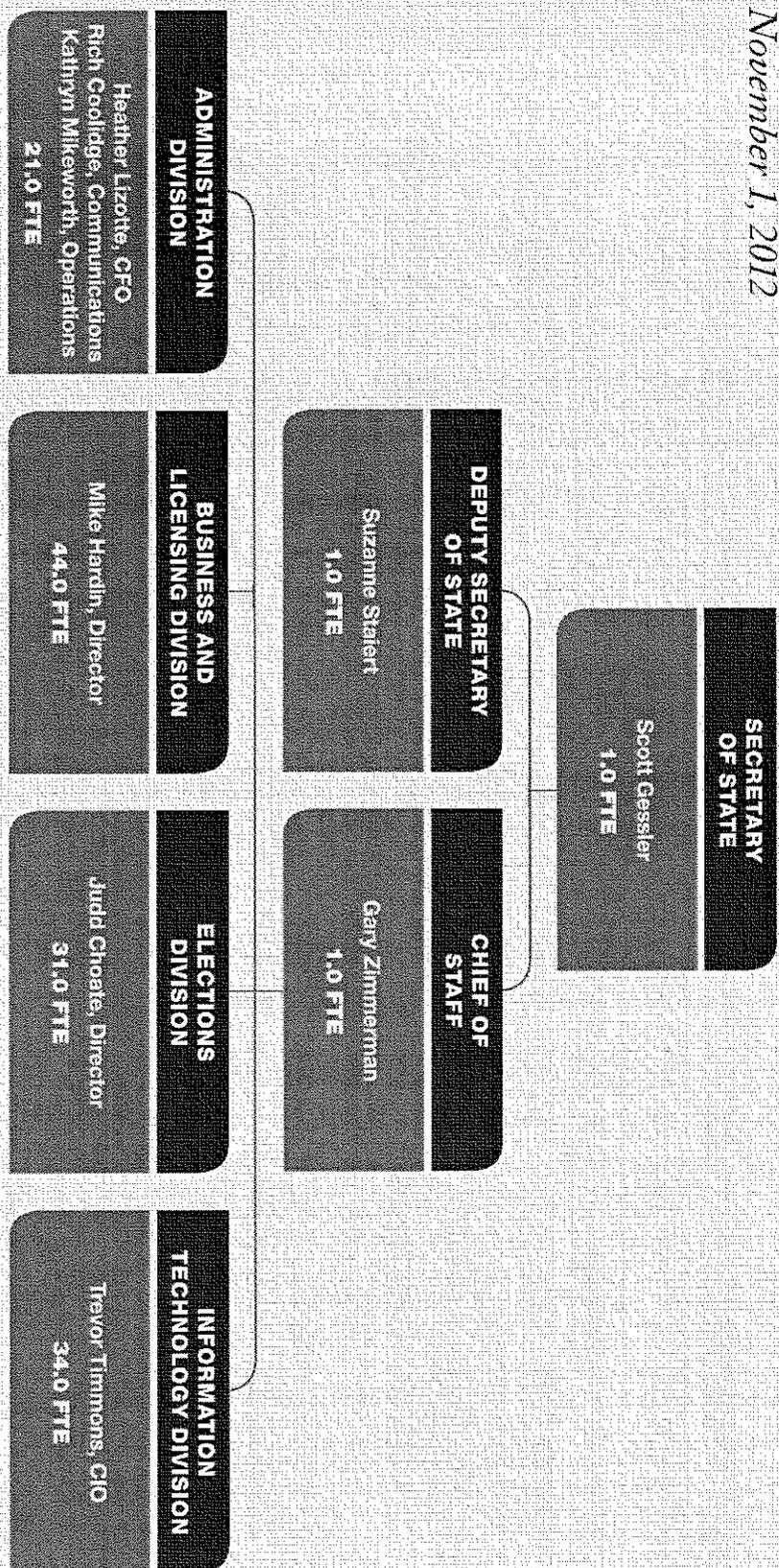
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November 1, 2012



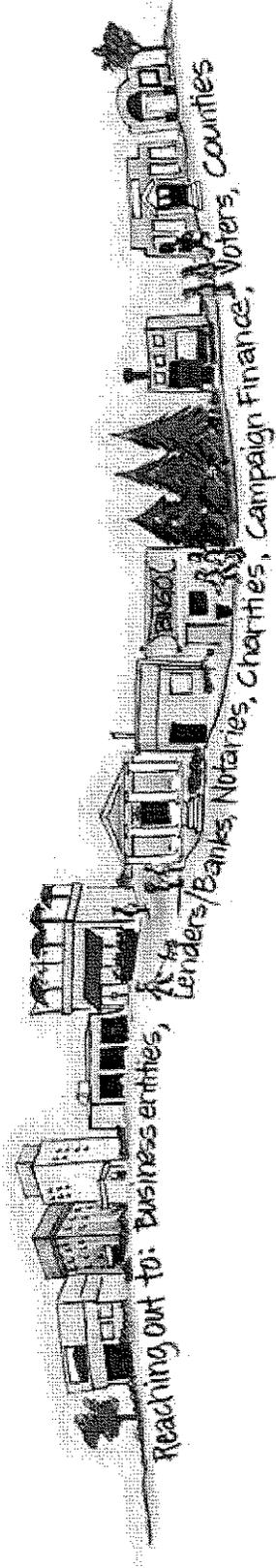
## Funds Appropriation Overview

	FTE	TOTAL FUNDS
<b>FY 2012-13 APPROPRIATION</b>		
Administration	99.0	\$ 9,022,579
Special Purposes	0.0	\$ 4,977,973
Information Technology Services	34.0	\$ 6,513,529
<b>FY 2012-13 APPROPRIATION</b>	<b>133.0</b>	<b>\$ 19,893,142</b>

## Background Information

The Department of State performs several functions, ranging from registering businesses to overseeing elections. The *Business and Licensing Division* receives filings such as business registrations, trade names, secured liens, lobbyist registrations, notary public applications, and bingo and raffle reports. Most filings are submitted electronically, and the office disseminates this information to the public through its web site. The *Elections Division* oversees state elections and has primary responsibility for campaign finance reporting and statewide ballot initiative certification. Two other divisions in the Department, *Administration* and *Information Technology*, support the office's programs.

Cash funds generated by business and other filings support nearly all of the Department's activities. Federal grants provide the remainder of funding. With the exception of Information Technology Services and special purpose lines, the Department of State is bottom-line funded; i.e., the Long Bill appropriations are aggregated under "Administration." Appropriations through this method allow the Department to use resources as needed by each division.



## *Prior Year Legislation*

The following 2012 legislation impacts the functions of the Department of State.

**SB 12-123 (Brown, Renfroe) Electronic filing system – improvements – integration with other systems:** authorizes enhancements to the system, designation of commercial registered agents and reporting entities anniversary month.

**HB 12-1143 (Ferrandino, Steadman ) State reimbursement to counties for ballot measure elections:** adjusts the reimbursement rates the state pays county governments for costs associated with elections involving statewide ballot measures.

**HB 12-1209 (Gardner, Carroll) Uniform Electronic Legal Material Act:** establishes procedures for the publication and authentication of certain state legal material that is available officially or exclusively through electronic media.

**HB 12-1236 (Summers, Jahn) Regulation of Charitable Solicitations:** extends the current filing deadline for charities annual reports by three months.

**HB 12-1274 (Swerdfefer, Jahn) Regulation of Notaries Public:** this allows for the exchange of information between the department of state and department of revenue's systems used to collect legal names, residential addresses and signatures of all applicants for driver's licenses and state identification cards.

**HB 12-1292 (Murray, Heath) Technical modifications to laws relating to the Administration of Elections:** non-substantive changes to election laws, including altering and clarifying elections-related deadlines; updating procedures in light of modern election practices or technology. Repealing redundant provisions; and recognizing the existence of more than two major political parties.

## Hot Issues

THE SECRETARY OF STATE LAUNCHED ONLINE FILING of Statements of Foreign Entity Authority on July 14, 2011. This streamlined the process for non-Colorado entities to transact business in Colorado. Online filing for foreign entities saves the Secretary of State's office approximately 800 hours and \$28,000 per year by replacing a manual, paper process. Online filing will also save businesses approximately \$150,000 per year due to lower fees for online filing.

STARTING IN JANUARY 2012, THE OFFICE ELIMINATED POSTCARDS and replaced them with email notifications. The Office estimates that this would save \$230,000 printing and mailing per year.

THE DEPARTMENT SUCCESSFULLY PARTNERED with the University of Colorado to PROVIDE QUARTERLY ECONOMIC INDICATORS REPORTS. The reports provide a resource for identifying and understanding business formation trends and the impact on Colorado's economy.

IN MAY 2012, THE DEPARTMENT LAUNCHED the Darwin system. This system, which replaced the aged UCC filing and notice system, supports FULLY-ELECTRONIC FILING OF UNIFORM COMMERCIAL CODE (UCC) AND OTHER LIEN DOCUMENTS, allows certified copies of documents to be obtained by customers for free, and allows, for the first time in Colorado, business-to-government XML filings using a national UCC electronic filing standard.

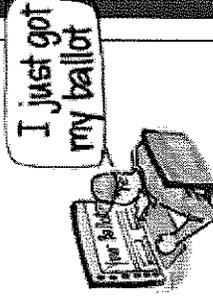
THE DEPARTMENT CREATED AND LAUNCHED THE NATION'S MOST ADVANCED SYSTEM FOR PREVENTING CORPORATE IDENTITY THEFT IN JANUARY 2012. This system, known as Secure Business Filing or SBF, is the first of its kind in the nation. The number of reported business ID theft cases in Colorado has declined even while this crime is receiving more attention across the country. Almost 30,000 businesses have established secure filing accounts since the rollout of this service.

THE DEPARTMENT'S ONLINE VOTER REGISTRATION (OLVR) RECORDED A REMARKABLE NUMBER OF NEW AND UPDATED VOTER REGISTRATION SUBMISSIONS in the weeks leading to the 2012 registration cutoff deadline. From September 1st to October 9th, 2012 OLVR was used by 230,000 people to update their record or register for the first time. Of these, 43,000 were new registrants. The Department's "voter lookup" page received 1.5 million hits on the cutoff day alone. By reducing paper and data entry, CDOS has saved the counties and the state incalculable resources.

THE DEPARTMENT CONTRACTED with a vendor to create a UNIFORM, ONE-STOP WEB LINK FOR ALL 2012 NATIONAL AND STATE ELECTION RESULTS FOR THE STATE OF COLORADO.

THE SECRETARY OF STATE HAS REDUCED MANY OF ITS FEES over the past year. Keeping the State of Colorado in the top five lowest fees in the nation. We have reduced fees on Foreign Entity filings, Non-profits, delinquency filings, notaries and soon annual reports.

THE DEPARTMENT RECEIVED a grant under The Uniform and Overseas Citizen Absentee Voting Act (UOCAVA) TO IMPLEMENT AN ONLINE BALLOT DELIVERY SYSTEM FOR MILITARY AND OVERSEAS VOTERS. For the November election, 17,186 UOCAVA voters have requested ballots, 8,000 were by email delivery, and 4,224 have downloaded their ballots online. In 2008, the Department had a total of 16,251 UOCAVA and that was with two wars going simultaneously. The ballot delivery system has been an amazing success.



# Hot Issues

*Continued*

THE DEPARTMENT WAS AWARDED a \$1.2 million grant from the Department of Defense to INSTALL BALLOT-ON-DEMAND PRINTERS IN EACH COUNTY FOR THE 2012 ELECTION. These printers guaranteed the timely delivery of ballots to UOCAVA voters as well as assist with other elections functions. Despite an incredibly ambitious schedule, every BOD printer was delivered and installed on time for the counties to meet the 45-day deadline for UOCAVA mailings. A handful of counties are even using the printers to print all paper ballots issued by the county.

DURING THE WEEK OF SEPTEMBER 10-14, the Department of State sent postcards to 760,000 Coloradans who were eligible to vote but not currently registered encouraging them to register to vote. This resulted in 39,000 new registrations through the online voter registration program in a 30-day period.

THE ABSTRACT PROJECT has seen a lot of progress as the application architecture is complete and the database structure completed and data loading is ongoing; the code development to input, organize and output data is in progress and all reports required to generate the Abstract have been specified and development is in progress.

IN SPRING 2012, THE DEPARTMENT LAUNCHED a pilot deployment of Microsoft Dynamics CRM to improve our customer service capabilities. We are using this system in three business units of the office and will deploy it to all customer service units of the office starting in January 2013. This system allows us to focus on providing superior customer service and identifying trends and urgent issues for rapid assessment and action.

## WORKLOAD INDICATORS

	ACTUAL FY10-11	ACTUAL FY11-12	ESTIMATED FY12-13	PROJECTED FY13-14
Number of business documents filed in paper format	9,856	1,855	1,602	1,500
Number of Colorado Open Records Act requests	63	60	75	60
Number of telephone calls to Business/Licensing call center	115,459	117,682	118,000	119,500
Number of rulemakings undertaken	10	17	7	18
Number of active committees in the TRACER campaign finance filing system	1,354	1,142	1,142	1,387

# FY2013-14 Strategic Plan

## INTRODUCTION

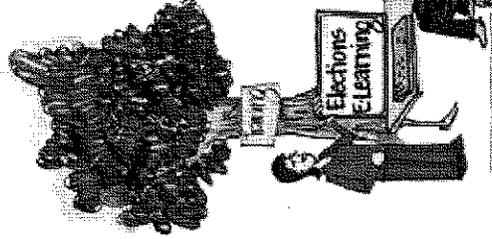
The Department of State primarily receives and makes information publicly available. Internet-based electronic filing and retrieval of information with the Department is favored by the general public, and in many cases, mandatory. The Department is continually web-enabling documents and information for its customers.

Even though each division within the Department has its own unique functions, some functions are consistent across programs, with the common thread being electronic information. For example:

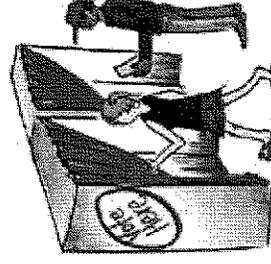
**Licensing/Registering.** Businesses, charitable organizations, fund-raisers, voter registration drives, and lobbyists register with the Department, bingo-raffle organizations are licensed, and notaries public receive commissions from the State through the Department.

**Communicating/Educating.** Each division devotes significant time to communicating with and assisting its constituents, the public, the private sector, governmental bodies, media, and others who require information regarding the departmental programs.

**Records Disclosure.** Through their respective websites, the department's divisions make available information about businesses in Colorado, disclosure information of political candidates and committees, and the disclosure reports filed by registered charitable organizations.



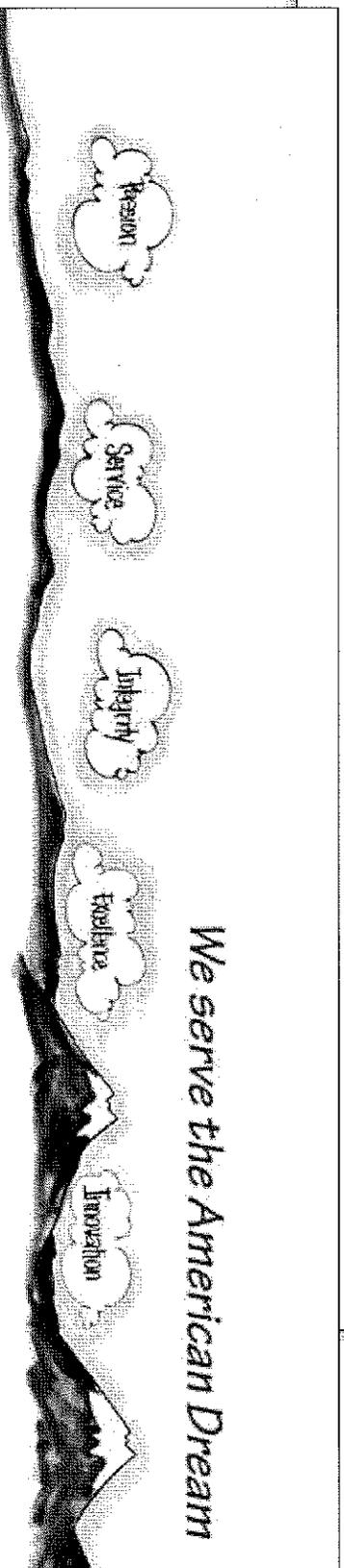
**Electronic Filings.** Most of the records filed with the department are filed electronically, including business filings, voter registration, campaign finance disclosure, administrative rules, lobbyist reports, charitable organization reports.



In addition to serving as the “keeper of records”, the Secretary of State is the chief election official of the state, charged with administering extensive statutes that relate directly or indirectly to the conduct of elections for the State of Colorado.

## *Statutory Authority*

The statutory authority for the Department of State is found in Title 24, Article 21, Colorado Revised Statutes (2012).



*We serve the American Dream*

**Mission Statement**  
*We believe in... growing commerce  
and fostering political freedom by being  
value driven, ethical and efficient.*

**Vision Statement**  
*We serve you... by building trust,  
instilling confidence and offering  
creative solutions*

# ADMINISTRATION DIVISION

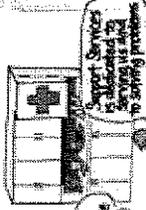
The Administration Division supports the Secretary of State and the Business and Licensing, Elections, and Information Technology divisions in the department by providing personnel, finance, and general administrative support. The division also provides communication and education to the public about the department's functions.



## Administration

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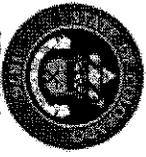


<p><b>GOALS</b></p> <ul style="list-style-type: none"> <li>Finance: improve customer service by implementing more efficient payment processing system</li> <li>Improve financial reporting</li> <li>Public Affairs; Improve Communications and Public Outreach</li> <li>Legislative: Develop agenda identifying key legislative initiatives, issues and goals</li> <li>Operations: Attract, retain, &amp; develop a high-performing workforce</li> <li>Policy: Create/coordinate policy development that supports all divisions &amp; furthers Department agenda</li> </ul>	<p><b>OBJECTIVES 2013</b></p> <ul style="list-style-type: none"> <li>Develop updated requirements</li> <li>Process financial transactions accurately and timely (2013-14)</li> <li>Educate Staff on Financial Reporting (2013-14)</li> <li>Work with advisors and constituents to improve and target key messages</li> <li>Define legislative goals for current and upcoming years</li> <li>Actively recruit talented candidates</li> <li>Identify and develop Department policy priorities</li> </ul>	<p><b>OBJECTIVES 2014</b></p> <ul style="list-style-type: none"> <li>Execute improvement project</li> <li>Simplify revenue compilation for reporting purposes</li> <li>Measure effectiveness and revise as necessary</li> <li>Measure impact versus program objectives</li> <li>Reduce recruiting cycle times</li> <li>Conduct research &amp; establish effective working relationships with stakeholders, SME, local gov'ts, business community and electors to ID potential policy-related concerns/solutions</li> </ul>
<p><b>OBJECTIVES 2015</b></p> <ul style="list-style-type: none"> <li>Evaluate and refine</li> <li>Reinforce, institutionalize</li> <li>Achieve targeted growth in GovDelivery subscriptions</li> <li>Refine and adjust</li> <li>Improve employee satisfaction and provide new opportunities</li> <li>Measure to ensure effective coordinated development of agency policy across divisions</li> </ul>	        	

We believe in... growing commerce and fostering political freedom by being value-driven, ethical and efficient.  
We serve you by... building trust, instilling confidence and offering creative solutions.

# BUSINESS AND LICENSING DIVISION

The Business and Licensing Division provides document filing, records management, information retrieval, and educational services. It registers business names and organizations, trade names and trademarks, and files secured transactions records and notary applications, making them, as well as other document filings, accessible to the public. This division also administers the lobbyist program, licenses entities involved in charitable bingo/raffle, registers charitable organizations, and publishes the Code of Colorado Regulations (CCR).



Office of the  
Secretary of State

## GOALS

- Build outreach opportunities and relationships with stakeholders
- Increase customer satisfaction through improved system usability and efficiency
- Enhance Division performance through employee development and process improvement
- Build credibility and public trust through accurate and transparent program administration

## Business and Licensing

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### OBJECTIVES 2013

- Develop and improve E-learning and online education products
- Create or revise externally facing communication products
- Increase stakeholder partnerships and collaborative processes
- Reduce turn-around-time for customer applications, filings, and reporting
- Reduce rejection rates in each program
- Increase alignment and automation of division reports
- Utilize process improvement tools to increase the consistency and quality of customer service
- Increase enforcement, auditing, and accounting capacity
- Reduce non-compliant filing

### OBJECTIVES 2014

- Establish and improve training and consulting programs
- Increase responsiveness to customers
- Decrease customer filing time
- Increase program capacity and throughput
- Increase accuracy of records, reports, and other materials
- Increase program transparency

### OBJECTIVES 2015

- Refine E-learning and online productivity
- Reduce turn-around-time for customer applications, filings, and reporting
- Increase employee training and development opportunities to align with evolving operational needs



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# ELECTIONS DIVISION

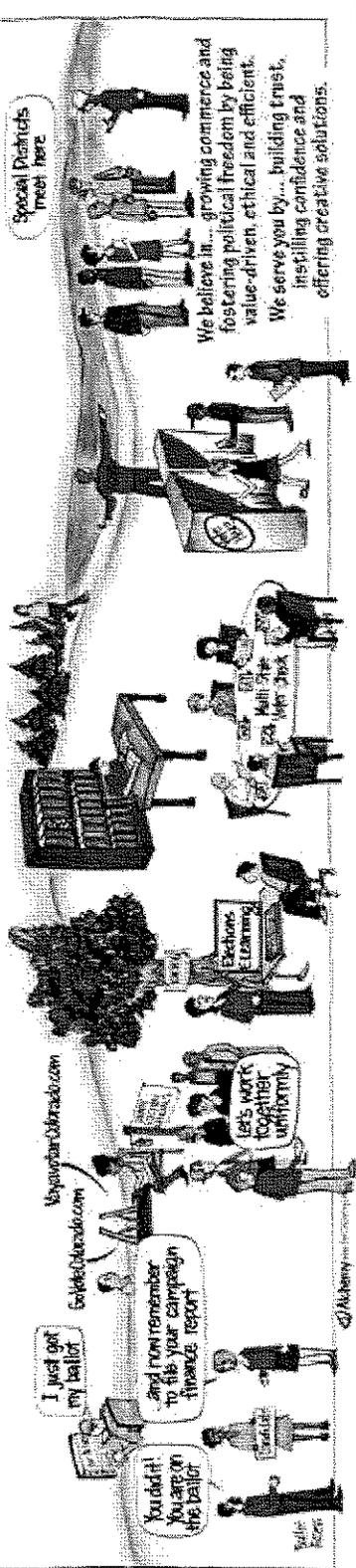
The Elections Division supports the Secretary of State as the state's chief election official by administering and supervising statutory and constitutional provisions that relate directly or indirectly to the conduct of elections for the State of Colorado. These include certifying the content to the ballot, publishing the abstract of vote totals, as well as overseeing the verification of petitions for ballot issues, campaign finance filings, voting equipment certifications, requirements of the National Voter Registration Act and the Help America Vote Act, and maintaining the statewide voter registration system.

## Elections

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GOALS	OBJECTIVES 2013	OBJECTIVES 2014	OBJECTIVES 2015
Leverage Technology	<ul style="list-style-type: none"> <li>Improve Voter Rolls with ERIC</li> <li>Military/Overseas Ballot Delivery System</li> </ul>	<ul style="list-style-type: none"> <li>Multi-State Vote Check for Fraud</li> <li>HAVA review of county equipment</li> </ul>	<ul style="list-style-type: none"> <li>Agency/DMV Registration Data Coordination</li> <li>Online Ballot Delivery for disabled</li> </ul>
Process Uniformity	<ul style="list-style-type: none"> <li>Election Night Reporting</li> <li>One Ballot on Demand System for each County</li> <li>Uniform Voting Conceptualization</li> </ul>	<ul style="list-style-type: none"> <li>All Voter Records Consolidated</li> <li>Uniform Voting Contracts and Rulemaking</li> </ul>	<ul style="list-style-type: none"> <li>Coordinated County Data Report</li> <li>Uniform Voting Full Rollout</li> </ul>
Education	<ul style="list-style-type: none"> <li>E-Learning Switchover</li> </ul>	<ul style="list-style-type: none"> <li>Complete full class regimen for E-Learning</li> </ul>	<ul style="list-style-type: none"> <li>Overhaul county clerk Training Requirements</li> </ul>
Transparency/Compliance	<ul style="list-style-type: none"> <li>NVRA Compliance Improvement</li> <li>Campaign Finance Fine Collection Improvement</li> </ul>	<ul style="list-style-type: none"> <li>Post-Election Vote Audit full Implementation</li> <li>Coordinated county reporting of election reimbursement</li> </ul>	<ul style="list-style-type: none"> <li>Viewer Outreach Ad Campaign 2012 election</li> <li>Special Districts Under Title I</li> </ul>



# INFORMATION TECHNOLOGY (IT) DIVISION

The Information Technology (IT) Division provides technical and project management services, system development, and support to programs administered by IT and the other divisions of the Department.



Office of the Secretary of State

## Information Technology

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Research

Services

Integrity

Excellence

Juvenator

**GOALS**

- Improve agility, speed and quality
- Minimize the work done by external users

**OBJECTIVES 2013**

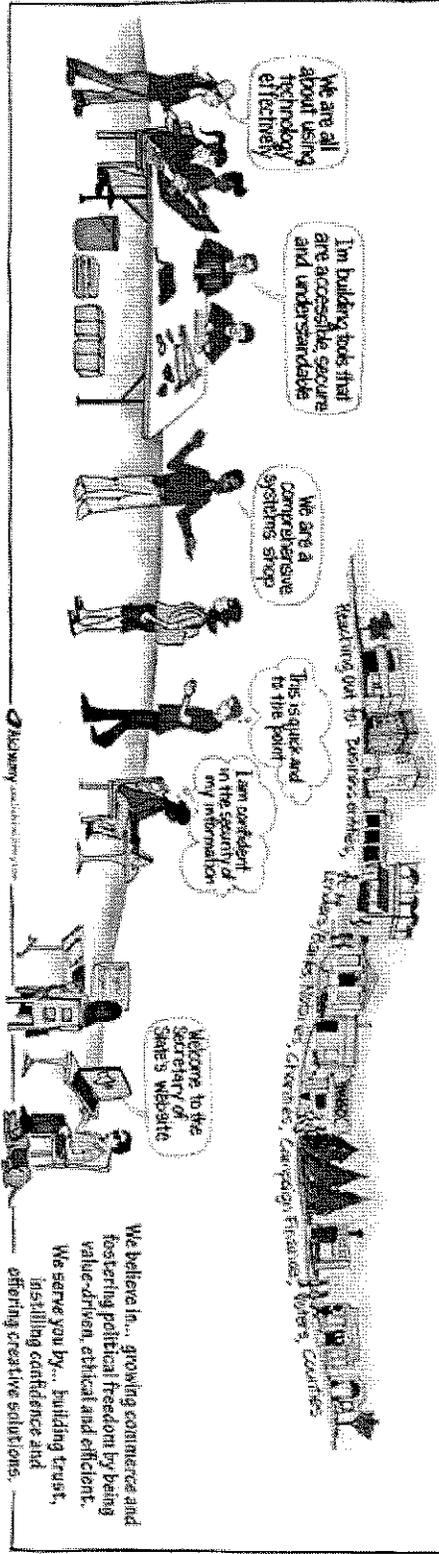
- Modernization of Production Environment
- Fully cohesive IT organization
- Data used for priority decisions
- Improvements through Business Efficiency Suite

**OBJECTIVES 2014**

- Plan for moving to leading software solutions
- Unified project execution across line of business
- Primary tasks by common form factors

**OBJECTIVES 2015**

- Bare minimum of technical debt
- Deliver the right thing fast
- Business Efficiency Suite fully realized



## Goals and Objectives

Using the following strategies, the Department will focus on activities to improve its use of technology and utilization of other resources to better serve its customers, and to ensure the integrity of elections.

### STRATEGIES

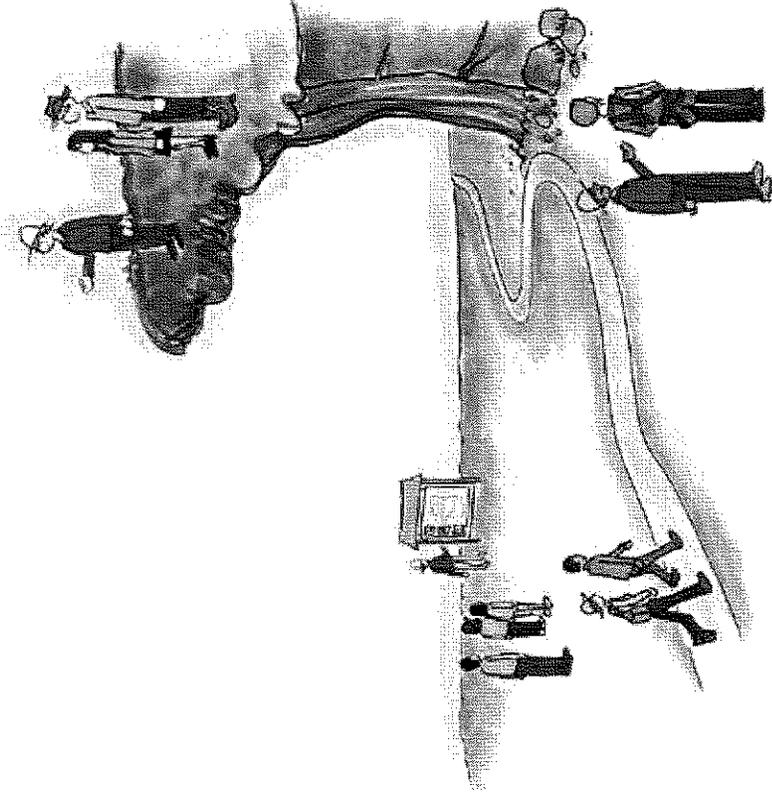
The Department will accelerate its LEAN-based Process-Improvement and Mapping Initiative by leveraging multi-layer process analysis for the purpose of ongoing customer service and productivity improvement.

The Department will strive to increase the percentage of registered Colorado voters and improve the accuracy of Colorado voter rolls through leadership and growth of the ERIC Project and refinement and use of other available data-matching tools.

The Department will lead the improvement of election administration and minimize county capital expenditure and maintenance costs via planning and implementation of a statewide Uniform Voting System.

The Department will provide expanded eLearning, data and analysis tools, and consultative services in order to reduce the cost and to simplify regulatory compliance for its elections, business and charitable program customers.

Continue to introduce innovative online products and services for the purpose of reducing customer costs when interacting with the Department.



# Goals, Objectives and Performance Measures

**GOAL:** Improve financial reporting and payment processing systems.

**OBJECTIVE:**

Complete and upgrade credit card processing and financial systems by July 1, 2014—Enhance effectiveness via financial education of customer-facing employees—Educate internal employees on financial rules and policies.

**EVALUATION:**

Reduce the number of credit card settlement days currently taking 2 to 5 days to 1 day or same day processing—Achieve and maintain 90% financial literacy of customer facing employee by June 2014—Reduce the number of person hours required to complete the monthly/quarterly financial close by 80%.

**ACTIVITY:**

Develop payment processing and financial system upgrade requirements document by October 1, 2013 and execute by July 1, 2014.

**ACTIVITY:**

Develop a financial training module and present to customer facing staff and all department employees by December 31, 2013.

**ACTIVITY:**

Identify and implement processes within finance to reduce closing entries completed for monthly and quarterly close.

**PERFORMANCE MEASURE:**

	<b>ACTUAL FY10-11 BENCHMARK</b>	<b>ACTUAL FY11-12</b>	<b>ESTIMATED FY12-13</b>	<b>PROJECTED FY13-14</b>
Average number of days taking to settle Credit Card transactions	N/A	6	3	0
Number of financial reporting meetings held	N/A	36	59	15
Number of hours to process financial close	N/A	70	91	18
Educating internal employees on Accounting Policies	N/A	0	78	52

# Goals, Objectives and Performance Measures

**GOAL:** Attract, retain, and develop a high-performing workforce.

**OBJECTIVE:** Streamline the hiring process and reduce recruiting cycle times by December 1, 2014—Improve employee satisfaction and provide new opportunities for professional development—Actively recruit talented candidates.

**EVALUATION:** Reduce the number of days required for employee selection from 87 to 60 (total calendar days between the vacancy advertisement and employees first day)—Maintain a record of training opportunities provided and track employee attendance. Ensure that attendance exceeds 80% per fiscal year and continues to grow—Increase the number of applications submitted as a result of job board announcements, recruiting websites, based upon referrals, etc.

**ACTIVITY:** Identify improvement opportunities through process mapping. Become certified in selection by May, 2013. Collaborate with staff to improve cycle time for position development.

**ACTIVITY:** Develop training program requirements by July 1, 2014. Regularly survey staff to identify training needs.

**ACTIVITY:** Develop recruitment strategies by December 1, 2013. Identify source of applications.

	ACTUAL FY10-11 BENCHMARK	ACTUAL FY11-12	ESTIMATED FY12-13	PROJECTED FY13-14
Average number of calendar days in selection process	No data available	87.25	74	60
Percentage of employees that have attended training	No data available	69%	87%	90%

# Goals, Objectives and Performance Measures

**GOAL:** Develop eLearning training program that adequately addresses and anticipates the needs of our customers.

**OBJECTIVE:**

Increase the availability of eLearning courses and standardize information provided in trainings.

**EVALUATION:**

Offer 5 additional courses to the public each fiscal year. Maintain a library of at least 10 pre-existing courses

**ACTIVITY:**

Consult with program managers and subject matter experts to identify need for courses. Survey and evaluate users to ensure satisfaction, benefit, and enhanced performance. Review and update courses on a regular basis to maintain pre-existing courses.

**PERFORMANCE MEASURE:**

	<b>ACTUAL FY10-11 BENCHMARK</b>	<b>ACTUAL FY11-12</b>	<b>ESTIMATED FY12-13</b>	<b>PROJECTED FY13-14</b>
Courses offered to the public using elearning platform	3	4	18	25

# Goals, Objectives and Performance Measures

**GOAL:** Increase number of Secretary of State and Staff constituent/customer interactions.

**OBJECTIVE:** Reduce rejection rates and time spent by customers in their interactions with the Department.

**EVALUATION:** By July 1, 2014, increase the number of constituent/customer speaking, engagements, training events, consultative meetings and eLearning activities by 10%.

**ACTIVITY:** Enhance and refine communications targeting, quality and rate to industry, religious, veterans and other groups that regularly interact with the Department.

**PERFORMANCE MEASURE:**

	ACTUAL FY10-11 BENCHMARK	ACTUAL FY11-12	ESTIMATED FY12-13	PROJECTED FY13-14
Number of Constituent Notices	0	91	110	130
Number of Press Releases	34	32	45	40
Number of Speaking Engagements	12	31	40	45

# Goals, Objectives and Performance Measures

**GOAL:** To improve services provided to Department of State customers.

**OBJECTIVE:**

By FY13-14, reduce the number of rejected notary public commission applications by 10%.

**EVALUATION:**

The department will evaluate its success through daily performance dashboards and periodic ad hoc reporting tools. Continuous rejection rate monitoring will drive midstream adjustments while periodic comparisons between current rates, historical trends and initial estimated benchmarks will provide valuable feedback on progress toward our overall goal.

**ACTIVITY:**

Improve the current online application system to allow acceptance of required documents for a notary public commission.

**ACTIVITY:**

Pursue legislation that will eliminate dated requirements associated with signatures and usability.

**PERFORMANCE MEASURE:**

	<b>ACTUAL FY10-11 BENCHMARK</b>	<b>ACTUAL FY11-12</b>	<b>ESTIMATED FY12-13</b>	<b>PROJECTED FY13-14</b>
Number of Notary Applications Filed	24,060	24,441	23,985	24,000
Number of Notary Applications Rejected	4,652	4,063	3,765	3,600

# Goals, Objectives and Performance Measures

**GOAL:** To improve services provided to Department of State customers.

**OBJECTIVE:** By FY13-14, reduce the rate of rejected UCC documents to less than .01%.

**EVALUATION:** The department will evaluate its success through daily performance dashboards and periodic ad hoc reporting tools. Continuous rejection rate monitoring will drive midstream adjustments while periodic comparisons between current rates, historical trends and initial estimated benchmarks will provide valuable feedback on progress toward our overall goal.

**ACTIVITY:** Web-enable the filing of all UCC documents, except federal tax liens.

**PERFORMANCE MEASURE:**

	ACTUAL FY10-11 BENCHMARK	ACTUAL FY11-12	ESTIMATED FY12-13	PROJECTED FY13-14
Number of paper UCC documents filed	41,599	29,338	13,242	13,639
Number of paper UCC filings rejected	826	823	36	20

*Note: The Department web-enabled UCC filings at the end of May 2012. Estimates are based on IRS Federal Tax Lien filings. Currently, the Department receives approximately 1000 IRS filings a month.*

# Goals, Objectives and Performance Measures

**GOAL:** To improve services provided to Department of State customers.

**OBJECTIVE:**

By FY 13-14, reduce the number of rejected bingo-raftle license applications by 14%.

**EVALUATION:**

The department will evaluate its success through daily performance dashboards and periodic ad hoc reporting tools. Continuous rejection rate monitoring will drive midstream adjustments while periodic comparisons between current rates, historical trends and initial estimated benchmarks will provide valuable feedback on progress toward our overall goal.

**ACTIVITY:**

Through training, outreach and other communication efforts, educate potential applicants on the requirements for operating charitable gaming, prerequisites for licenses, and the application process.

**ACTIVITY:**

Develop and implement an online filing system that will assist applicants in determining if they meet prerequisites for a license, as well as guide them step-by-step through the application-filing process.

**PERFORMANCE MEASURE:**

	ACTUAL FY10-11 BENCHMARK	ACTUAL FY11-12	ESTIMATED FY12-13	PROJECTED FY13-14
Number of Licensed Bingo Entities	1,274	1,244	1,275	1,307
Number of Bingo-raftle licenses rejected	171	129	115	91

# Goals, Objectives and Performance Measures

**GOAL:** To improve services provided to Department of State customers.

**OBJECTIVE:** By FY13-14, reduce the rejection rate for charitable registration filings from 14.2% to 11%

**EVALUATION:** The department will evaluate its success through daily performance dashboards and periodic ad hoc reporting tools. Continuous rejection rate monitoring will drive midstream adjustments while periodic comparisons between current rates, historical trends and initial estimated benchmarks will provide valuable feedback on progress toward our overall goal.

**ACTIVITY:** Through training, outreach and other communication efforts, educate potential registrants who are involved with charitable organizations, charitable solicitations and professional non-profit fund-raising regarding the registration requirements with the State.

**ACTIVITY:** Refine the online filing system so that registrants are aware of information required to be filed.

PERFORMANCE MEASURE:	ACTUAL FY10-11 BENCHMARK	ACTUAL FY11-12	ESTIMATED FY12-13	PROJECTED FY13-14
Number of Registered Charitable Organizations	9,168	10,072	11,130	12,300
Number of Applications Rejected	1,521	1,589	1,470	1,230

# Goals, Objectives and Performance Measures

**GOAL:** To ensure the integrity of Colorado election results.

**OBJECTIVE:** Increase the number of counties using effective post-election audits to 100% by 2014 through the implementation of audit procedures that minimize risk and assure accurate election results.

**EVALUATION:** The Department will use information on the success of the implementation of statewide audit procedures for the five counties already in process. These procedures are being created and implemented on a smaller scale in currently with great success. Rollout of the statewide implementation is set for this coming fiscal year.

**ACTIVITY:** Implement the audit procedures that minimize risk and assure accurate election results as outlined in a \$230,000 grant awarded from the Election Assistance Commission.

**ACTIVITY:** Partner with six counties and a statistical expert on election auditing to test these procedures.

**PERFORMANCE MEASURE:**

	<b>ACTUAL FY10-11 BENCHMARK</b>	<b>ACTUAL FY11-12</b>	<b>ESTIMATED FY12-13</b>	<b>PROJECTED FY13-14</b>
Number of counties utilizing risk-limiting post-election audit procedures	NA	3	5	64

## *Goals, Objectives and Performance Measures*

**GOAL:** To comply with state statute by providing electronic option for Colorado registered voters.

**OBJECTIVE:** Enable current registered voters to update or withdraw their voter information and persons not registered to register for the first time using electronic application.

**EVALUATION:** The Department will use the information to determine bandwidth and hardware necessary to accommodate tens of thousands of users. Issues identified will be resolved or escalated for development

**ACTIVITY:** Monitor the number of transactions monthly to establish usage parameters and identify issues reported by public users.

**PERFORMANCE MEASURE:**

	ACTUAL FY09-10	ACTUAL FY10-11	ACTUAL FY11-12	ESTIMATED FY12-13	PROJECTED FY13-14
Number of OLVR Transactions	12,310	251,922	274,850	900,000	400,000

# Goals, Objectives and Performance Measures

**GOAL:** To ensure all users receive the knowledge necessary to utilize the statewide voter registration and election management system.

**OBJECTIVE:** Provide technical and functional support and training to all election officials and staff required to use the statewide system to maintain voter registration records and manage elections.

**EVALUATION:** The Department will use the information to determine priority for trainings.

**ACTIVITY:** Tracking of every call and email received by the support team.

**PERFORMANCE MEASURE:**

	<b>ACTUAL FY09-10</b>	<b>ACTUAL FY10-11</b>	<b>ACTUAL FY11-12</b>	<b>ESTIMATED FY12-13</b>	<b>PROJECTED FY13-14</b>
Number of county support calls fielded by SCORE team		13,032	10,576	23,424	12,000

# Goals, Objectives and Performance Measures

**GOAL:** To fully comply with Help America Vote Act 2002 (HAVA).

**OBJECTIVE:**

To ensure multiple voter records for the same voter are consolidated into one record.

**EVALUATION:**

The Department will use the information to determine the success of the county or the need for higher level intervention.

**ACTIVITY:**

County users will review, research and consolidate multiple voter records into one record.

**ACTIVITY:**

The customer support team will audit the consolidations to verify accuracy of consolidations.

**PERFORMANCE MEASURE:**

	ACTUAL FY09-10	ACTUAL FY10-11	ACTUAL FY11-12	ESTIMATED FY12-13	PROJECTED FY13-14
Groups left to be merged into SCORE	925,878	776,062	335,472	320,669	500

## *Goals, Objectives and Performance Measures*

**GOAL:** To increase opportunities for military and overseas voters to receive an un-voted ballot early enough to vote and return the ballot in time to be counted.

**OBJECTIVE:**

Increase the number of counties using the online ballot transmission program to 100% of counties with military and overseas voters by 2014.

**EVALUATION:**

The Department will review the voter and county user surveys to evaluate success of the 2012 program implementation. The feedback will be used to identify system and process enhancements to make the program more voter-friendly and efficient, and to increase independence from any vendor. Rollout of additional system functionality is scheduled for the coming fiscal year.

**ACTIVITY:**

Provide training and support to the counties that have not fully implemented the program to assist them in coming onboard by 2014.

**ACTIVITY:**

Partner with expert county users and the vendor to identify and develop system functionality to continue to make it more voter-friendly and administratively efficient.

**PERFORMANCE MEASURE:**

	<b>ACTUAL FY10-11 BENCHMARK</b>	<b>ESTIMATED FY11-12</b>	<b>ESTIMATED FY12-13</b>	<b>ESTIMATED FY13-14</b>
Numbers of counties providing UOCAVA online ballot transmission	5	53	56	62

## Goals, Objectives and Performance Measures

**GOAL:** To increase opportunities for military and overseas voters to receive an unvoted ballot early enough to vote and return the ballot in time to be counted.

**OBJECTIVE:** Increase the number of voters using the system to obtain an unvoted ballot to all military and overseas voters who desire or need to use the transmission method by 2014.

**EVALUATION:** The Department will review the voter and county user surveys to evaluate success of the 2012 program implementation. The feedback will be used to identify system and process enhancements to make the program more voter-friendly and efficient. Rollout of additional system functionality and cosmetic changes are scheduled for the coming fiscal year.

**ACTIVITY:** Provide training and support to the counties that have not fully implemented the program to assist them in coming onboard by 2014.

**ACTIVITY:** Identify and implement system enhancements and cosmetic changes to the system to increase usability.

PERFORMANCE MEASURE:	ACTUAL FY10-11 BENCHMARK	ESTIMATED FY11-12	ESTIMATED FY12-13	ESTIMATED FY13-14
Number of un-voted UOCAVA ballots delivered online	28	10,309	8,500	12,500

# Goals, Objectives and Performance Measures

**GOAL:** To reduce voter registration drive violations through education and training.

**OBJECTIVE:**

The Department will decrease voter registration drive violations by increasing voter registration drive training opportunities.

**EVALUATION:**

If the Department successfully trains voter registration drives, then the Department will issue fewer voter registration drive fines. Years with Coordinated Elections will be compared (odd years), and years with general elections will be compared (even years).

**ACTIVITY:**

Voter registration drives are fined when they fail to register with the State Elections Division, and when they fail to deliver voter registration forms to the clerk and recorder with the statutory timeframe.

**PERFORMANCE MEASURE:**

	<b>ACTUAL FY09-10</b>	<b>ACTUAL FY10-11</b>	<b>ACTUAL FY11-12</b>	<b>ESTIMATED FY12-13</b>	<b>PROJECTED FY13-14</b>
Fines issued to voter registered drives	\$0	\$3,750	\$2,700	\$13,125	\$1,000

## *Goals, Objectives and Performance Measures*

**GOAL:** To increase the number of staff taking elections training courses to become certified.

**OBJECTIVE:**

Provide learning opportunities on topics relevant to county election officials.

**EVALUATION:**

Where practical, follow up on information provided in the courses to ensure that counties are implementing procedures and complying with laws and rules. This can be done using surveys, examining ballots, auditing procedures, etc.

**ACTIVITY:**

Provide a combination of online and regional classroom training opportunities.

**ACTIVITY:**

Encourage county clerks to have all staff who work with elections (full- or part-time) to take elections courses.

**PERFORMANCE MEASURE:**

	ACTUAL FY09-10	ACTUAL FY10-11	ACTUAL FY11-12	ESTIMATED FY12-13	PROJECTED FY13-14
County officials newly certified by SOS	30	40	31	42	30

# Goals, Objectives and Performance Measures

**GOAL:** To provide online training opportunities accessible to all clerks and their staff without costly travel.

**OBJECTIVE:**

To provide training on a wide range of topics that county elections staff can access on demand.

**EVALUATION:**

The Department will conduct periodic surveys to evaluate the effectiveness of the courses. Evaluations will cover participant satisfaction questions, as well as questions about counties changing or updating their procedures based on information learned in the courses.

**ACTIVITY:**

With the guidance of the Certification Advisory Board, create and maintain a catalog of basic elections topics.

**PERFORMANCE MEASURE:**

	<b>ACTUAL FY09-10</b>	<b>ACTUAL FY10-11</b>	<b>ACTUAL FY11-12</b>	<b>ESTIMATED FY12-13</b>	<b>PROJECTED FY13-14</b>
Number of online classes offered for certification training	0	3	4	10	15

# Goals, Objectives and Performance Measures

**GOAL:** To Maintain a Strong Security Posture.

**OBJECTIVE:**

By FY 2013-14, identify and close potential vulnerabilities and achieve and maintain a workforce that is trained in information security practices and principles.

**EVALUATION:**

The department will evaluate its success by collecting and tracking detailed metrics in these two areas. Results of weekly vulnerability scans will be reviewed by senior information technology staff and prioritized for action based on risk profiles.

**ACTIVITY:**

Department supervisors will receive periodic reports of the training status of staff in their program areas.

**ACTIVITY:**

Security training of new employees is incorporated into the onboarding process.

**ACTIVITY:**

Critical vulnerabilities will be addressed by technical staff as they are discovered.

**PERFORMANCE MEASURE:**

	ACTUAL FY11-12	ESTIMATED FY12-13	PROJECTED FY13-14
% of employees undergoing information security training during the year	100%	100%	100%
Percent of new employees (full-time, contract and interns) completing information security training within 10 business days of work start	92%	98%	100%
Percent of critical vulnerabilities closed within 15 days	85+ %	95+ %	100%

# Goals, Objectives and Performance Measures

**GOAL:** To Improve Agility, Speed, & Quality of the IT. Division.

**OBJECTIVE:**

To improve our success in project delivery by modernizing our infrastructure, implementing a more agile development methodology and instituting formal project and portfolio management processes in the department.

**EVALUATION:**

The department will evaluate these areas by tracking our infrastructure modernization projects and holding formal collaborative reviews with program stakeholders in the agency. Success will be achieved when we can provide historical reviews of actual versus estimated project achievements and predictively plan and deliver projects in line with stakeholder expectations.

**ACTIVITY:**

Regular project readouts on infrastructure modernization projects will be created and reviewed at quarterly meetings.

**ACTIVITY:**

Formal project and portfolio reviews will be created and presented to senior management and program managers in the agency. Executive management of the agency will set project priorities for the coming quarter and our delivery will be monitored on an ongoing basis.

**PERFORMANCE MEASURE:**

	<b>ACTUAL FY11-12</b>	<b>ESTIMATED FY12-13</b>	<b>PROJECTED FY13-14</b>
Percent completion for modernization of production office systems, Windows and Unix <sup>1</sup>	33%	66%	100%
Implement Agile-based methodologies across all software development projects	75%	100%	100%
Develop and institute formal process for quarterly project and portfolio management of agency projects	N/A	100%	100%

# Goals, Objectives and Performance Measures

**GOAL:** To Improve Customer-facing Web Applications.

**OBJECTIVE:** To continue to expand the focus on usability of the department's website and targeting of mobile devices for high-value areas.

**EVALUATION:** The department will evaluate the usability of the agency's web presence by continuing regular surveys of website users and tracking the impact of improvements using statistical analysis. We will also continue to create mobile-optimized versions of website functionality in high-impact areas.

**ACTIVITY:** Analysis and implementation of best practices for website design.

**ACTIVITY:** Identification of high-usage, high-impact capabilities of our website and creation of specific versions optimized for mobile devices.

**PERFORMANCE MEASURE:**

	ACTUAL FY11-12	ESTIMATED FY12-13	PROJECTED FY13-14
Number of formal usability sessions in critical areas	1	3	6
Create new mobile-optimized website applications as determined by agency programs areas	0	1	3

*Note: 1 includes Windows-based office productivity systems and Unix-based official filing systems.*

